

# INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCI/US 97/11555

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
WO 9721090 A	12-06-97	AU 1283397 A	27-06-97
US 5160702 A	03-11-92	NONE	
WO 9708556 A	06-03-97	AU 6913196 A	19-03-97
WO 9607919 A	14-03-96	US 5627041 A	06-05-97
		AU 3462795 A	27-03-96
		CA 2198854 A	14-03-96
		EP 0778950 A	18-06-97

**PCT**INTELLECTUAL PROPERTY ORGANIZATION  
International Bureau

09869551 062801



## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

<b>(51) International Patent Classification 7 :</b> <b>C12Q 1/68, B01L 3/00</b>	<b>A1</b>	<b>(11) International Publication Number:</b> <b>WO 00/40750</b> <b>(43) International Publication Date:</b> 13 July 2000 (13.07.00)
<b>(21) International Application Number:</b> PCT/EP99/10347 <b>(22) International Filing Date:</b> 23 December 1999 (23.12.99)  <b>(30) Priority Data:</b> 9828785.7 30 December 1998 (30.12.98) GB  <b>(71) Applicant (for all designated States except US):</b> AMERSHAM PHARMACIA BIOTECH AB [SE/SE]; S-751 84 Uppsala (SE).  <b>(72) Inventors; and</b> <b>(75) Inventors/Applicants (for US only):</b> ORLEFORS, Anna, Edman [SE/SE]; Vaderkvarnsgatan 35B, S-753 26 Uppsala (SE). ERICKSON, Kerstin [SE/SE]; DagHammar skjoldsv 245 B, S-756 52 Uppsala (SE). LOFMAN, Esfir [SE/SE]; Borjegaat 1B, S-753 13 Uppsala (SE). ANDERSSON, Per [SE/SE]; Hornsgatan 147, S-117 30 Stockholm (SE). ULFENDAHL, Per, Johan [SE/SE]; Rapphonsvagen 10B, S-756 53 Uppsala (SE).  <b>(74) Agent:</b> ROLLINS, Anthony, John; Nycomed Amersham plc, Amersham Laboratories, White Lion Road, Amersham, Bucks HP7 9LL (GB).		<b>(81) Designated States:</b> AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CU, CZ, DE, DK, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, UA, UG, US, UZ, VN, YU, ZA, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).  <b>Published</b> <i>With international search report.</i>
<b>(54) Title:</b> METHOD FOR SEQUENCING DNA USING A MICROFLUIDIC DEVICE  <b>(57) Abstract</b>  The present invention describes a method for sequencing DNA in a device with microfluidics properties and a set of reagents for its use. This microfluidic device may be in form of a disc with radially extending microchannel structures (CD form) having an inner application area that may be common for one or more microchannel structures. By spinning the disc the liquid can be driven from an applicator area into reaction and/or detection are as closer to the periphery of the disc. Liquid transportation may thus be driven by centripetal force. The microfluidic device may also have other gemoetrical forms. Several methods can be used to determine the sequence of DNA according to the invention but the real time determination of released pyrophosphate using the luciferase luciferin reaction is preferred.		

# PATENT COOPERATION TREATY

From the  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

To:

ROLLINS, Anthony J.  
NYCOMED AMERSHAM PLC  
Amersham Laboratories  
White Lion Road  
Amersham  
Buckinghamshire HP7 9LL  
GRANDE BRETAGNE

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16 JAN 2001

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01 JAN 2001

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NOTIFICATION OF TRANSMITTAL OF  
THE INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT  
(PCT Rule 71.1)

Date of mailing  
(day/month/year) 11.01.2001

Applicant's or agent's file reference  
PU9844

## IMPORTANT NOTIFICATION

International application No.  
PCT/EP99/10347

International filing date (day/month/year)  
23/12/1999

Priority date (day/month/year)  
30/12/1998

Applicant  
AMERSHAM PHARMACIA BIOTECH AB et al

1. The applicant is hereby notified that this International Preliminary Examining Authority transmits herewith the international preliminary examination report and its annexes, if any, established on the international application.
2. A copy of the report and its annexes, if any, is being transmitted to the International Bureau for communication to all the elected Offices.
3. Where required by any of the elected Offices, the International Bureau will prepare an English translation of the report (but not of any annexes) and will transmit such translation to those Offices.


### 4. REMINDER

The applicant must enter the national phase before each elected Office by performing certain acts (filing translations and paying national fees) within 30 months from the priority date (or later in some Offices) (Article 39(1)) (see also the reminder sent by the International Bureau with Form PCT/IB/301).

Where a translation of the international application must be furnished to an elected Office, that translation must contain a translation of any annexes to the international preliminary examination report. It is the applicant's responsibility to prepare and furnish such translation directly to each elected Office concerned.

For further details on the applicable time limits and requirements of the elected Offices, see Volume II of the PCT Applicant's Guide.

Name and mailing address of the IPEA/

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D-80298 Munich  
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Authorized officer

Danti, B

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## TENT COOPERATION TREATY

PCT

## NOTIFICATION OF ELECTION

(PCT Rule 61.2)

From the INTERNATIONAL BUREAU

To:

Assistant Commissioner for Patents  
 United States Patent and Trademark  
 Office  
 Box PCT  
 Washington, D.C.20231  
 ETATS-UNIS D'AMERIQUE

in its capacity as elected Office

Date of mailing (day/month/year)

23 August 2000 (23.08.00)

International application No.

PCT/EP99/10347

Applicant's or agent's file reference

PU9844

International filing date (day/month/year)

23 December 1999 (23.12.99)

Priority date (day/month/year)

30 December 1998 (30.12.98)

Applicant

ORLEFORS, Anna, Edman et al

1. The designated Office is hereby notified of its election made:



in the demand filed with the International Preliminary Examining Authority on:

28 July 2000 (28.07.00)



in a notice effecting later election filed with the International Bureau on:

2. The election ☒ was

was not

made before the expiration of 19 months from the priority date or, where Rule 32 applies, within the time limit under Rule 32.2(b).

The International Bureau of WIPO  
 34, chemin des Colombettes  
 1211 Geneva 20, Switzerland

Facsimile No.: (41-22) 740.14.35

Authorized officer

Manu Berrod

Telephone No.: (41-22) 338.83.38

# INTERNATIONAL SEARCH REPORT

Inter Application No  
PCT/EP 99/10347

**A. CLASSIFICATION OF SUBJECT MATTER**  
IPC 7 C12Q1/68 B01L3/00

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)  
IPC 7 C12Q B01L

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	WO 98 55653 A (NEXSTAR PHARMACEUTICALS INC) 10 December 1998 (1998-12-10) page 4 -page 5, line 22; claims 1,34	1-7
A	WO 98 28440 A (DZIEGLEWSKA HANNA EVA ;PYROSEQUENCING AB (SE); NYREN PAAL (SE)) 2 July 1998 (1998-07-02) claims 1,6,7,15	1-7
A	WO 98 07019 A (KIEFFER HIGGINS STEPHEN G ;MIAN ALEC (US); KELLOGG GREGORY (US); G) 19 February 1998 (1998-02-19) figures 11A-11E	1,2,8
A	WO 97 47761 A (SARNOFF CORP) 18 December 1997 (1997-12-18) page 11, paragraph 3; claims 1-13	1-7
-/--		

☒ Further documents are listed in the continuation of box C.

☒ Patent family members are listed in annex.

### \* Special categories of cited documents:

- \*A\* document defining the general state of the art which is not considered to be of particular relevance
- \*E\* earlier document but published on or after the international filing date
- \*L\* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- \*O\* document referring to an oral disclosure, use, exhibition or other means
- \*P\* document published prior to the international filing date but later than the priority date claimed

- \*T\* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- \*X\* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- \*Y\* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.
- \*Z\* document member of the same patent family

Date of the actual completion of the international search

17 April 2000

Date of mailing of the international search report

26/04/2000

Name and mailing address of the ISA  
European Patent Office, P.B. 5818 Patentlaan 2  
NL - 2280 HV Rijswijk  
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Authorized officer

Osborne, H

# INTERNATIONAL SEARCH REPORT

Inter Application No  
PCT/EP 99/10347

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	WO 97 22825 A (NEUKERMANS ARMAND P) 26 June 1997 (1997-06-26)	
A	WO 98 45481 A (KNAPP MICHAEL ;BOUSSE LUC J (US); CALIPER TECHN CORP (US); KOPF SI) 15 October 1998 (1998-10-15)	
A	WO 97 21090 A (GAMERA BIOSCIENCE) 12 June 1997 (1997-06-12) cited in the application claims 46,57; figures 17A-E	1,2,8

# INTERNATIONAL SEARCH REPORT

Information on patent family members

Inter. Application No

PCT/EP 99/10347

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
WO 9855653 A	10-12-1998	AU 7813698 A	21-12-1998
WO 9828440 A	02-07-1998	AU 5331198 A EP 0946752 A	17-07-1998 06-10-1999
WO 9807019 A	19-02-1998	AU 4144897 A EP 0917648 A AU 702403 B AU 1283397 A CA 2239613 A CN 1208464 A EP 0865606 A NO 982563 A WO 9721090 A	06-03-1998 26-05-1999 18-02-1999 27-06-1997 12-06-1997 17-02-1999 23-09-1998 05-08-1998 12-06-1997
WO 9747761 A	18-12-1997	AU 3878497 A CA 2258511 A EP 0912752 A US 5908755 A	07-01-1998 18-12-1997 06-05-1999 01-06-1999
WO 9722825 A	26-06-1997	EP 0862708 A	09-09-1998
WO 9845481 A	15-10-1998	AU 6884198 A EP 0972082 A	30-10-1998 19-01-2000
WO 9721090 A	12-06-1997	AU 702403 B AU 1283397 A CA 2239613 A CN 1208464 A EP 0865606 A NO 982563 A AU 4144897 A EP 0917648 A WO 9807019 A	18-02-1999 27-06-1997 12-06-1997 17-02-1999 23-09-1998 05-08-1998 06-03-1998 26-05-1999 19-02-1998

REC'D 17 JAN 2001

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## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

15

Applicant's or agent's file reference PU9844	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/EP99/10347	International filing date (day/month/year) 23/12/1999	Priority date (day/month/year) 30/12/1998
International Patent Classification (IPC) or national classification and IPC C12Q1/68		
Applicant AMERSHAM PHARMACIA BIOTECH AB et al		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.



2. This REPORT consists of a total of 6 sheets, including this cover sheet.

- ☐ This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of sheets.

3. This report contains indications relating to the following items:

- I ☒ Basis of the report
- II ☐ Priority
- III ☐ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- IV ☐ Lack of unity of invention
- V ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI ☐ Certain documents cited
- VII ☒ Certain defects in the international application
- VIII ☒ Certain observations on the international application

Date of submission of the demand  28/07/2000	Date of completion of this report  11.01.2001
Name and mailing address of the international preliminary examining authority:   European Patent Office D-80298 Munich Tel. +49 89 2399 - 0 Tx: 523656 epmu d Fax: +49 89 2399 - 4465	Authorized officer  Tilkorn, A-C  Telephone No. +49 89 2399 8688  



# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/EP99/10347

## I. Basis of the report

1. This report has been drawn on the basis of *(substitute sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to the report since they do not contain amendments (Rules 70.16 and 70.17).):*

### Description, pages:

1-16 as originally filed

### Claims, No.:

1-8 as originally filed

### Drawings, sheets:

1/5-5/5 as originally filed

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: , which is:

- ☐ the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of:

- ☐ the description, pages:
- ☐ the claims, Nos.:

# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/EP99/10347

☐ the drawings, sheets:

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)):

*(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)*

6. Additional observations, if necessary:

## V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

### 1. Statement

Novelty (N)	Yes:	Claims	2,4,6,8
	No:	Claims	1,3,5,7
Inventive step (IS)	Yes:	Claims	-
	No:	Claims	1-8
Industrial applicability (IA)	Yes:	Claims	1-8
	No:	Claims	-

2. Citations and explanations  
**see separate sheet**

## VII. Certain defects in the international application

The following defects in the form or contents of the international application have been noted:  
**see separate sheet**

## VIII. Certain observations on the international application

The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made:  
**see separate sheet**

**Re Item V**

The following documents are referred to in this communication:

D1: WO 98 28440 A

D2: WO 97 21090 A cited in the application

The present application is directed to a sequencing system which is based on a device comprising microchannels which are interconnected and wherein liquid flow is achieved by centripetal force.

1 **Novelty (Art 33(2) PCT):**

1.1 **Claim 1** is not novel over D1:

The method as defined in the preamble of the claim is known from D1 (D1: p 20 I 8-33) and the only characterising feature of the invention is the "microfluidic device". This expression however is a designation which does not contain the essential technical features of the invention. A "microfluidic device" can mean any device which is suitable to operate with liquids on a microlitre scale. Thus, a microtitre plate for example as disclosed in D1 (p 13 para 3 - p 14 para 3) falls within the meaning of "microfluidic device". Since D1 also discloses the detection of PP<sub>i</sub> release by light emission from a luciferin luciferase reaction (D1: p 7 para 3 ff), **claim 5** is not novel, either. Similarly, D1 also discloses real-time monitoring of the sequencing reaction (D1: p 3 para 2; p 8 last paragraph - p 10 para 1) and therefore anticipates the subject-matter of **claim 7**.

1.2 The subject-matter of **claim 3** is not novel, either. All the method steps are anticipated by D1 (D1: p 20 I 8-33). The range of immobilized single stranded DNA (step (i)) covers the usual range of primers used for an enzymatic sequencing reaction. The same applies to the range given in step (ii). The "pre-determined areas on the surface of a microfluidic device" is not a distinguishing feature over D1 either, because wells of a microtitre plate as described in D1 (D1: p 13 para 4) fall within the meaning of said expression.

1.3 **Claim 2** is novel, because none of the available documents describes a

sequencing method in which the sample DNA is in a first step immobilized on a reaction area in a microchannel structure of a microfluidic device and after that a deoxynucleotide is added before the template dependent incorporation of the deoxynucleotide is detected.

For the same reason, also **claims 4, 6 and 8** are novel.

**2** Inventive Step (Art 33(3) PCT):

**2.1 Claim 2** does not appear to be inventive for the following reasons:

D1, which is considered to represent the closest prior art, describes a method of sequencing DNA based on the detection of the release of pyrophosphate. An embodiment is disclosed (D1: p 20 I 8-33) which shows all the method steps but is not carried out in reaction areas of a microchannel structure.

This distinguishing feature however, does not appear to solve a technical problem. Reaction areas in a microchannel structure seem to be the equivalent of e.g. wells on a microtitre plate. Since the claimed method does not rely on the microchannel structures, it does not achieve an effect over the method of D1.

Thus, **claim 2** does not seem to satisfy Art 33(3) PCT.

**2.2 Claim 4** does not appear to be inventive for the following reasons:

D1, which is considered to represent the closest prior art, is distinguished from the subject-matter of claim 4 in that D1 does not disclose a method in which the sample DNA is moved through a microfluidic device before being immobilized in the reaction chamber. This distinguishing feature does not seem to solve a problem. Since dependent **claims 6 and 8** do not contain an inventive concept per se, they do not appear to comply with Art 33(3) PCT, either.

**Claim 8** contains additional features of the microfluidic device. However, the use of centripetal forces to motivate fluid movement through microchannels are known from D2 (abstract). The disclosure of D2 also embraces the use of such devices for DNA sequencing (D2: Example 7) and various other methods for DNA analysis (D2: Examples 3-6).

**Re Item VII**

In order for the application to be self-contained the reference to non-published patent

applications should have been replaced by the corresponding publication numbers (Guidelines II 4.17)(e.g. p 5 I 26; p 6 I 1).

**Re Item VIII**



- 1 The claims lack essential features of the invention (Art 6 PCT): In the description it is stated that the advantage of the method lies in the small amounts of reagents needed (application: p 10 I 29-31). However, none of the present claims contains a technical feature defining the volumes used in the "microfluidic device".
- 2 The use of brackets in **claims 1 and 2** renders the scope of said claims unclear (Art 6 PCT) since it is not clear if the features in the brackets are meant to belong to the claims. Moreover, the question mark in claim 1(i) renders the claim unclear.
- 3 **Claim 2** does not comply with Art 6 PCT for the following reason: Step (i) relates to "forming immobilised double stranded DNA [...]" and step (ii) specifies that the "double stranded DNA" consists of a sample DNA strand and a primer strand. This does technically not make sense, because a primer should be shorter than the sample DNA strand in order to enable the template dependent primer extension, which means that the DNA molecule can only be partly double stranded. The DNA molecule must have a single stranded overhang.
- 4 **Claim 3** does not satisfy Art 6 PCT, because its subject-matter is not clearly defined: According to the preamble the claim is directed to a method of determining a nucleotide base in a sample whereas step (v) relates to determining the sequence of portions of sample DNA. Moreover, the dependency of the claim is unclear: According to the preamble of the claim, it is directed to a method of determining a nucleotide base whereas claim 2 is directed to the identification of a sequence of a portion of sample DNA.
- 5 **Claim 4** is not clear (Art 6 PCT): Step (v) relates to "extending the primer [...] with a known deoxynucleotide [...] or dideoxynucleotide [...]". This formulation implies that the person who carries out the method already knows which nucleotide to take. This, however would render the whole method pointless since it is aimed at identifying the sequence.

## PATENT COOPERATION TREATY

# PCT

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference <b>PU9844</b>		<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/418)	
International application No. <b>PCT/EP99/10347</b>	International filing date (day/month/year) <b>23/12/1999</b>	Priority date (day/month/year) <b>30/12/1998</b>	
International Patent Classification (IPC) or national classification and IPC <b>C12Q1/68</b>			
Applicant <b>AMERSHAM PHARMACIA BIOTECH AB et al</b>			
<p>1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of 6 sheets, including this cover sheet.</p> <p><input type="checkbox"/> This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).</p> <p>These annexes consist of a total of sheets.</p>			
<p>3. This report contains indications relating to the following items:</p> <ul style="list-style-type: none"><li>I <input checked="" type="checkbox"/> Basis of the report</li><li>II <input type="checkbox"/> Priority</li><li>III <input type="checkbox"/> Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</li><li>IV <input type="checkbox"/> Lack of unity of invention</li><li>V <input checked="" type="checkbox"/> Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</li><li>VI <input type="checkbox"/> Certain documents cited</li><li>VII <input checked="" type="checkbox"/> Certain defects in the international application</li><li>VIII <input checked="" type="checkbox"/> Certain observations on the international application</li></ul>			
Date of submission of the demand <b>28/07/2000</b>		Date of completion of this report <b>11.01.2001</b>	
Name and mailing address of the international preliminary examining authority:  <b>European Patent Office D-80298 Munich Tel. +49 89 2399 - 0 Tx: 523656 epmu d Fax: +49 89 2399 - 4465</b>		Authorized officer <b>Tilkorn, A-C</b> Telephone No. +49 89 2399 8688 	

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. PCT/EP99/10347

**I. Basis of the report**

1. This report has been drawn on the basis of *(substitute sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to the report since they do not contain amendments (Rules 70.16 and 70.17).):*

**Description, pages:**

1-16 as originally filed

**Claims, No.:**

1-8 as originally filed

**Drawings, sheets:**

1/5-5/5 as originally filed

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: , which is:

- ☐ the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of:

- ☐ the description, pages:
- ☐ the claims, Nos.:

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. PCT/EP99/10347

☐ the drawings, sheets:

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)):

*(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)*

6. Additional observations, if necessary:

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

**1. Statement**

Novelty (N)	Yes:	Claims	2,4,6,8
	No:	Claims	1,3,5,7
Inventive step (IS)	Yes:	Claims	-
	No:	Claims	1-8
Industrial applicability (IA)	Yes:	Claims	1-8
	No:	Claims	-

2. Citations and explanations  
see separate sheet

**VII. Certain defects in the international application**

The following defects in the form or contents of the international application have been noted:  
see separate sheet

**VIII. Certain observations on the international application**

The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made:  
see separate sheet



International application No. PCT/EP99/10347

**The following documents are referred to in this communication:**

D2: WO 97 21090 A cited in the application

1 Novelty (Art 33(2) PCT):

The method as defined in the preamble of the claim is known from D1 (D1: p 20 l 8-33) and the only characterising feature of the invention is the "microfluidic device". This expression however is a designation which does not contain the essential technical features of the invention. A "microfluidic device" can mean any device which is suitable to operate with liquids on a microlitre scale. Thus, a microtitre plate for example as disclosed in D1 (p 13 para 3 - p 14 para 3) falls within the meaning of "microfluidic device". Since D1 also discloses the detection of PP, release by light emission from a luciferin luciferase reaction (D1: p 7 para 3 ff), **claim 5** is not novel, either. Similarly, D1 also discloses real-time monitoring of the sequencing reaction (D1: p 3 para 2; p 8 last paragraph - p 10 para 1) and therefore anticipates the subject-matter of **claim 7**.

1.2 The subject-matter of **claim 3** is not novel, either. All the method steps are anticipated by D1 (D1: p 20 I 8-33). The range of immobilized single stranded DNA (step (i)) covers the usual range of primers used for an enzymatic sequencing reaction. The same applies to the range given in step (ii). The "pre-determined areas on the surface of a microfluidic device" is not a distinguishing feature over D1 either, because wells of a microtitre plate as described in D1 (D1: p 13 para 4) fall within the meaning of said expression.

**1.3 Claim 2** is novel, because none of the available documents describes a

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sequencing method in which the sample DNA is in a first step immobilized on a reaction area in a microchannel structure of a microfluidic device and after that a deoxynucleotide is added before the template dependent incorporation of the deoxynucleotide is detected.

For the same reason, also **claims 4, 6 and 8** are novel.

**2 Inventive Step (Art 33(3) PCT):**

**2.1 Claim 2 does not appear to be inventive for the following reasons:**

D1, which is considered to represent the closest prior art, describes a method of sequencing DNA based on the detection of the release of pyrophosphate. An embodiment is disclosed (D1: p 20 | 8-33) which shows all the method steps but is not carried out in reaction areas of a microchannel structure.

This distinguishing feature however, does not appear to solve a technical problem. Reaction areas in a microchannel structure seem to be the equivalent of e.g. wells on a microtitre plate. Since the claimed method does not rely on the microchannel structures, it does not achieve an effect over the method of D1.

Thus, **claim 2** does not seem to satisfy Art 33(3) PCT.

**2.2 Claim 4 does not appear to be inventive for the following reasons:**

D1, which is considered to represent the closest prior art, is distinguished from the subject-matter of claim 4 in that D1 does not disclose a method in which the sample DNA is moved through a microfluidic device before being immobilized in the reaction chamber. This distinguishing feature does not seem to solve a problem. Since dependent **claims 6 and 8** do not contain an inventive concept per se, they do not appear to comply with Art 33(3) PCT, either.

**Claim 8** contains additional features of the microfluidic device. However, the use of centripetal forces to motivate fluid movement through microchannels are known from D2 (abstract). The disclosure of D2 also embraces the use of such devices for DNA sequencing (D2: Example 7) and various other methods for DNA analysis (D2: Examples 3-6).

**Re Item VII**

In order for the application to be self-contained the reference to non-published patent

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applications should have been replaced by the corresponding publication numbers (Guidelines II 4.17)(e.g. p 5 I 26; p 6 I 1).

**Re Item VIII**

- 1 The claims lack essential features of the invention (Art 6 PCT): In the description it is stated that the advantage of the method lies in the small amounts of reagents needed (application: p 10 I 29-31). However, none of the present claims contains a technical feature defining the volumes used in the "microfluidic device".
- 2 The use of brackets in **claims 1 and 2** renders the scope of said claims unclear (Art 6 PCT) since it is not clear if the features in the brackets are meant to belong to the claims. Moreover, the question mark in claim 1(i) renders the claim unclear.
- 3 **Claim 2** does not comply with Art 6 PCT for the following reason: Step (i) relates to "forming immobilised double stranded DNA [...]" and step (ii) specifies that the "double stranded DNA" consists of a sample DNA strand and a primer strand. This does technically not make sense, because a primer should be shorter than the sample DNA strand in order to enable the template dependent primer extension, which means that the DNA molecule can only be partly double stranded. The DNA molecule must have a single stranded overhang.
- 4 **Claim 3** does not satisfy Art 6 PCT, because its subject-matter is not clearly defined: According to the preamble the claim is directed to a method of determining a nucleotide base in a sample whereas step (v) relates to determining the sequence of portions of sample DNA. Moreover, the dependency of the claim is unclear: According to the preamble of the claim, it is directed to a method of determining a nucleotide base whereas claim 2 is directed to the identification of a sequence of a portion of sample DNA.
- 5 **Claim 4** is not clear (Art 6 PCT): Step (v) relates to "extending the primer [...] with a known deoxynucleotide [...]" or dideoxynucleotide [...]. This formulation implies that the person who carries out the method already knows which nucleotide to take. This, however would render the whole method pointless since it is aimed at identifying the sequence.



## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

<b>(51) International Patent Classification <sup>7</sup> :</b> <b>C12Q 1/68, B01L 3/00</b>	<b>A1</b>	<b>(11) International Publication Number:</b> <b>WO 00/40750</b> <b>(43) International Publication Date:</b> 13 July 2000 (13.07.00)
<b>(21) International Application Number:</b> PCT/EP99/10347 <b>(22) International Filing Date:</b> 23 December 1999 (23.12.99) <b>(30) Priority Data:</b> 9828785.7 30 December 1998 (30.12.98) GB <b>(71) Applicant (for all designated States except US):</b> AMERSHAM PHARMACIA BIOTECH AB [SE/SE]; S-751 84 Uppsala (SE). <b>(72) Inventors; and</b> <b>(75) Inventors/Applicants (for US only):</b> ORLEFORS, Anna, Edman [SE/SE]; Vaderkvarnsgatan 35B, S-753 26 Uppsala (SE). ERICKSON, Kerstin [SE/SE]; DagHammarskjoldsv 245 B, S-756 52 Uppsala (SE). LOFMAN, Esfir [SE/SE]; Borjegat 1B, S-753 13 Uppsala (SE). ANDERSSON, Per [SE/SE]; Hornsgatan 147, S-117 30 Stockholm (SE). ULFENDAHL, Per, Johan [SE/SE]; Rapphonsvagen 10B, S-756 53 Uppsala (SE). <b>(74) Agent:</b> ROLLINS, Anthony, John; Nycomed Amersham plc, Amersham Laboratories, White Lion Road, Amersham, Bucks HP7 9LL (GB).		<b>(81) Designated States:</b> AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CU, CZ, DE, DK, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, UA, UG, US, UZ, VN, YU, ZA, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).  <b>Published</b> <i>With international search report.</i>
<b>(54) Title:</b> METHOD FOR SEQUENCING DNA USING A MICROFLUIDIC DEVICE		
<b>(57) Abstract</b> <p>The present invention describes a method for sequencing DNA in a device with microfluidics properties and a set of reagents for its use. This microfluidic device may be in form of a disc with radially extending microchannel structures (CD form) having an inner application area that may be common for one or more microchannel structures. By spinning the disc the liquid can be driven from an applicator area into reaction and/or detection area as closer to the periphery of the disc. Liquid transportation may thus be driven by centripetal force. The microfluidic device may also have other geometrical forms. Several methods can be used to determine the sequence of DNA according to the invention but the real time determination of released pyrophosphate using the luciferase luciferin reaction is preferred.</p>		

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# INTERNATIONAL SEARCH REPORT

International Application No

PCT/EP 99/10347

**A. CLASSIFICATION OF SUBJECT MATTER**  
IPC 7 C12Q1/68 B01L3/00

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 C12Q B01L

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	WO 98 55653 A (NEXSTAR PHARMACEUTICALS INC) 10 December 1998 (1998-12-10) page 4 -page 5, line 22; claims 1,34	1-7
A	WO 98 28440 A (DZIEGLEWSKA HANNA EVA ;PYROSEQUENCING AB (SE); NYREN PAAL (SE)) 2 July 1998 (1998-07-02) claims 1,6,7,15	1-7
A	WO 98 07019 A (KIEFFER HIGGINS STEPHEN G ;MIAN ALEC (US); KELLOGG GREGORY (US); G) 19 February 1998 (1998-02-19) figures 11A-11E	1,2,8
A	WO 97 47761 A (SARNOFF CORP) 18 December 1997 (1997-12-18) page 11, paragraph 3; claims 1-13	1-7
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☒ Further documents are listed in the continuation of box C.

☒ Patent family members are listed in annex.

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Date of the actual completion of the international search

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# INTERNATIONAL SEARCH REPORT

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## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	WO 97 22825 A (NEUKERMANS ARMAND P) 26 June 1997 (1997-06-26)	
A	WO 98 45481 A (KNAPP MICHAEL ;BOUSSE LUC J (US); CALIPER TECHN CORP (US); KOPF SI) 15 October 1998 (1998-10-15)	
A	WO 97 21090 A (GAMERA BIOSCIENCE) 12 June 1997 (1997-06-12) cited in the application claims 46,57; figures 17A-E	1,2,8

# INTERNATIONAL SEARCH REPORT

Information on patent family members

Inter. Application No

PCT/EP 99/10347

Patent document cited in search report		Publication date	Patent family member(s)	Publication date
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WO 9828440	A	02-07-1998	AU 5331198 A	17-07-1998
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## METHOD FOR SEQUENCING DNA USING A MICROFLUIDIC DEVICE

A method, device and reagents for the high throughput sequencing of nucleic acids.

5

This invention is based on a method for sequencing nucleic acids, a device for handling DNA containing samples, and a reagent kit, where the sequencing method is based on pyrosequencing.

10

DNA sequencing is an essential tool in basic molecular biology research. In the future it can be expected that DNA sequencing will be used in both diagnostic research as well as applied genome diagnostics.

15

The majority of *de novo* DNA sequencing is carried out with shot gun sequencing and with the enzymatic chain terminating method of Sanger. The sequence is generated by the resolution, using gel electrophoresis, of DNA fragments which have been prepared by elongating predetermined oligonucleotide primers. The separation of DNA fragments and the following analysis are cumbersome and great efforts have been made to automate these steps. Despite the fact that

20

automated DNA sequencers are used in large scale genome projects there is a need for DNA sequencing devices with higher throughput, for both genome sequencing and routine clinical applications.

25

Pyrosequencing is a modified pyrophosphate (PPi)-based sequencing method in which PPi is detected by the release of light in the luciferase – luciferin reaction (see for example PCT patent applications WO 98/13523 and 98/28440). Each time one nucleotide molecule is incorporated into the growing DNA strand one molecule of PPi is released. The light detected is directly proportional to the number of incorporated bases in the growing DNA strand. The main drawback with this method is the number of samples that can be handled simultaneously and the speed of detection. Thus PCT application WO 98/28440 describes reactions in 96 well microtitre plates. Since the volume in each well is between 10 – 500 microlitre, the costs for the reagents are high and limit the use of the method.

30

When performing the pyrosequencing method in microtitre plates reaction mixes are added to the reaction chamber, but since no solution is removed from the well, the reaction can only be done a limited number of times, thereby only generating short stretches of DNA sequences. One of the major problems is to remove the excess of dNTP that can lead to misincorporation and dATP, which interferes with the light generation reaction. WO 98/28440 describes the addition of a nucleotide degrading enzyme, e.g. apyrase, to deal with this.

It is an object of the present invention to overcome several of the previous problems with pyrosequencing, such as the increasing volume when performing pyrosequencing in a microtitreplate, as well as reducing the consumption of reagents and making it feasible for analysis of several hundred samples simultaneously, thus providing a high through-put system.

*Arrayed Primer EXtension (APEX)*, works by immobilising a large number of primers to a solid surface, thus creating a DNA-chip. These primers are constructed to be consecutively overlapping over the entire gene of interest, so that every base in the gene will have a primer to its 5'-end. By adding fluorescently labelled dideoxynucleotides, the primers will then be extended by one nucleotide using the sample DNA as template. It will thus be easy to check which nucleotide was incorporated, which in turn tells you the entire sequence of the sample DNA.

The present invention describes a method for sequencing DNA in a device with microfluidics properties and a set of reagents for its use. This microfluidic device may be in form of a disc with radially extending microchannel structures (CD form) having an inner application area that may be common for one or more microchannel structures. By spinning the disc the liquid can be driven from an applicator area into reaction and/or detection are as closer to the periphery of the disc. Liquid transportation may thus be driven by centripetal force. The microfluidic device may also have other geometrical forms.

Accordingly, in a first aspect the present invention provides a method for identifying the sequence of a portion of sample DNA, which method comprises:

- (i) forming immobilised double stranded DNA on one or more reaction areas in a microchannel structure of a microfluidic device;
- (ii) adding a known deoxynucleotide, (or the corresponding deoxynucleotide analogue or dideoxynucleotide) and a DNA polymerase to each of said one or more reaction areas so that extension of primer only occurs if there is a complementarity of the added deoxynucleotide or dideoxynucleotide with the strand of sample DNA that is part of the immobilised double stranded DNA;
- (iii) detecting whether or not the deoxynucleotide, deoxynucleotide analogue or dideoxynucleotide added in step (ii) has been added to the primer DNA in said one or more reaction areas,
- (iv) repeating steps (ii) and (iii) as required with a different deoxynucleotide (or the corresponding deoxynucleotide analogue or dideoxynucleotide).

The double stranded DNA which after step (i) is present in the reaction area consists of one strand of primer DNA and one strand of sample DNA (template). One of the strands is firmly attached to the reaction area. At least one of the strands of sample DNA and primer DNA is different for at least two reaction areas within one and the same microfluidic device.

The immobilised double stranded DNA comprising template and primer may be formed outside the microfluidic device as described in the experimental part. In the most efficient variants, it is, however, believed that the immobilised double strand is formed within the microfluidic device, for instance in the reaction chamber, by introducing separately either single or double stranded sample DNA and primer DNA. In case double stranded sample DNA is introduced in step (i) above, or in the preferred aspects described later, it has to be denatured within the microfluidic device.

The added deoxynucleotide, deoxynucleotide analogue or dideoxynucleotide in step (ii) may be labelled or unlabelled. If it is labelled the label as such is measured. Any kind of label that can be incorporated in a nucleic acid strand by the polymerase can be used, for instance a fluorescent label. If the

deoxynucleotide, deoxynucleotide analogue or dideoxynucleotide is unlabelled, nucleotide incorporation can be detected by measuring the amount of PP<sub>i</sub> released.

5 The amount of single stranded sample DNA that is immobilised is typically 0.1-200 pmole but may also be as low as 1 atomole, for example 1 femtomole. The number of reaction areas may be from two upwards. Typically it is below 500,000 such as below 100,000.

10 In both the general and preferred aspects, the length of the elongated part of the primer may be from one base upwards. In case the method is arrayed primer extension (APEX), WO 95/00699, the elongated part of the primer is one nucleotide, for example, when using a labelled terminator e.g. dideoxynucleotide. This means that the repeating step (iv) is run at most three times.

15 In one aspect the present invention comprises:

- (i) attaching 0.1 – 200 pmol of a primer or single stranded DNA sample to each of between one and 100,000 pre-determined areas on the surface of a microfluidic device;
- 20 (ii) hybridising small amounts, e.g. 0.1 – 200 pmol, of single stranded sample DNA or primer respectively to each of the predetermined areas;
- (iii) adding a known deoxynucleotide, deoxynucleotide analogue or dideoxynucleotide and a DNA polymerase so that extension of the primer only occurs, with consequent release of pyrophosphate (PP<sub>i</sub>), if there is a  
25 complementarity with the sample DNA;
- (iv) measuring the release of PP<sub>i</sub> and from which predetermined area on the device it is released;
- (v) repeating steps (iii) and (iv) as required to construct a DNA sequence for the elongated primers, and hence for portions of the sample DNA.

30 In a preferred aspect, the present invention provides a method for identifying the sequence of a portion of sample DNA, which method comprises:

- (i) adding sample DNA to a predetermined area on a microfluidic device

- (ii) moving the sample to a reaction chamber on the microfluidic device
- (iii) attaching the sample DNA to a surface of the reaction chamber, alternatively hybridising the sample DNA in a single stranded form to a primer attached to the reaction chamber (then to (v))
- 5 (iv) if the sample DNA has not been attached to a primer attached to the reaction chamber, hybridising a primer to the DNA in a single stranded form
- (v) extending the primer in the presence of a DNA polymerase with a known deoxynucleotide (dNTP), deoxynucleotide analogue or dideoxynucleotide
- 10 (ddNTP), such extension being indicated by detection of pyrophosphate (PPi) released from the extension reaction
- (vi) repeating step (v) as required to establish the sequence of the extended primer.

15 The sample DNA to be loaded onto the microfluidic device may be an amplified sample and/or may be amplified within the microfluidic device. Amplification may involve introduction of a tag suitable for attaching the amplified DNA to a solid support.

20 The present invention may be applied to all fields where DNA or RNA are sequenced. These are *de novo* sequencing, resequencing of known sequences for monitoring mutation or base changes, sequencing of sequence polymorphisms and mini-sequencing where only one base is determined (including arrayed primer extension (APEX). Furthermore, the present invention may be applied to situations

25 where the identity of a number of polymorphs is determined at the same time (see for example European Patent application 99303215.0).

The DNA to be sequenced can be of any origin: animal, plant, bacterial, or viral. This DNA can be amplified either in the device or before it is loaded onto the

30 device.

The microfluidic device of the present invention may be analogous to those described in the literature, see patent application WO97/21090 filed by Gamera BioScience, and is preferably in the form of a disc, where the fluids are moved by

centripetal forces see for example co-pending application GB 9809943.5. The device preferably has a sample loading or application area with one or more reaction chambers and a detection chamber. Thus, a reaction can be performed in the detection chamber, and any light reaction can be detected directly when it occurs. In the case of separated chambers the flow between these can be steered by different types of barriers, like narrowed transport channels, different mechanical barriers or by surface interactions between the walls and the solution. These interactions can be of hydrophobic – hydrophilic character.

Kit of reagents:

Buffers for amplification

(vii) Enzymes for amplification, or mixed with the buffer

Sequencing buffer, luciferin

Sequencing enzymes, can also be mixed with the buffer

dCTP, dGTP, dTTP in separate buffers

dATP $\alpha$ S in buffer

These reagents can also be stored in a dried state e.g. glacified, direct in the disc and the reagents will then be activated first after addition of water.

Enzymes to be used in the kit:

DNA polymerase or another thermostable DNA polymerase for amplification and/or sequencing reactions e.g. Taq or other thermostable DNA polymerases

ATP sulphurylase

Luciferase

Apyrase as an optional non-preferred ingredient

Illustrative DNA polymerases are Klenow fragment polymerases. Sequenases and other 3'-5' exo- DNA polymerases, and Taq DNA polymerases and other thermostable polymerases. 3'-5' exo- DNA polymerases are preferred. Amplification reactions on sample DNA may be performed within the microfluidic device or outside it before the sample DNA is loaded onto the device.

A kit according to the invention comprises a microfabricated device, preferably in

form of a disc with radially extending microchannel structures, in combination with one, two or three of (a) Luciferase, (b) DNA polymerase, and (c) ATP sulfurylase, optionally combined with any of the above-mentioned ingredients, with preference for one or more ingredients that relate to anyone of (a)-(b) as a substrate.

The method of loading reagents and liquids to the microfluidic device can be with a dispenser, or a mechanical device for "picking" the different samples. The loading device should be able to load the different application spots onto the spinning device, preferably during the spinning of the device.

After the loading of the sample, it will be transferred by the centripetal force to the reaction chamber. In the reaction chamber the sample should be attached to a wall of the reaction chamber. If the sample is a DNA fragment, it can be attached to a surface of the reaction chamber in one of the following ways.

In the first, the DNA will be tagged at the 3'- or 5'- end during the amplification step, the tag can preferably be biotin or any other suitable tag described in the literature and suitable for attaching the tagged substance to a solid support. The surface in the reaction chamber should be activated with a substance to quickly and effectively bind to the DNA tag, preferably streptavidin will be used when the tag is biotin. The surface in the chamber can also be enlarged by the use of beads or other surface enlargement groups or structures, for example agarose or polystyrene-divinyl benzene beads (Sephacrose or Source, respectively, Amersham Pharmacia Biotech AB) that are retained in the chamber, for instance by being glued to the wall of the reaction chamber. The beads or the enlargement groups may then carry the appropriate affinity group for catching the tagged DNA, for instance strepavidin in case the tag is biotin.

A second way to bind the DNA to the surface is by attaching the primer before amplification and then to perform the amplification of the sample DNA in the reaction chamber. With this approach additional coupling chemistries can be used to link the primer to the surface, such as an aminolinker on the primer with an epoxysilane treated surface.



A third way is to select the DNA sample of interest with attached primer(s). These can then be used for both attachment and act as sequencing primers, simultaneously. With this approach, the sample DNA needs to be fragmented prior to the hybridisation to the primers in the reaction chamber, following this hybridisation, the primer is extended. An advantage with this method is that several or many hundred different primers can be attached in the reaction chamber and these can be made in such a way that they cover different parts of the DNA fragment of interest, thereby the whole DNA fragment can be sequenced in one step. The distance on an unfragmented DNA molecule between sequences binding to different primers can vary between 1 to 500 bases and is most preferably 5-50 bases apart.

Binding of DNA to the reaction area may be by covalently linking one of the strands, preferably the primer, directly to the surface of a reaction area or via a specific adsorption such as via biotin-avidine as described above and other affinity pairs providing a sufficient binding to each other. A number of techniques for covalently linking DNA to solid supports are known in the scientific and patent literature.

When the sample DNA is attached to the surface it should be denatured, this can be achieved by several methods for example, hydrogen bond breaking agents, high pH or high temperature. In the present invention the preferred method is denaturing the DNA with high pH, preferably by using sodium hydroxide. Denaturation can take place either outside or inside the microfluidic device.

The following step in the invention is the elongation where DNA polymerase is added together with primer; optionally the primer can be added prior to the other compounds. The other reagents are ATP sulphurylase, luciferase, L- and D-luciferin and APS and one of the nucleotide triphosphates, dATP $\alpha$ S, dCTP, dGTP or dTTP. These are added sequentially, i.e. a mix with dATP $\alpha$ S and the other reagents, followed by a detection step and finally a wash, this is followed by dC, and then dG, and then dT or any other predetermined order. When a nucleotide is incorporated a signal is detected in the luciferase reaction and this is scored as that

base. The washing step included here solves the problem with loading the reaction mixes to one well many times and thereby getting a larger and larger volume. Since the washing here is included in the spinning device there is no need for the use of apyrase as described in Patent application WO 98/28440.

5

PPi can be determined by many different methods and a number of enzymatic methods have been described in the literature (Reeves *et al.*, (1969), *Anal. Biochem.*, 28, 282-287; Guillory *et al.*, (1971), *Anal. Biochem.*, 39, 170-180; Johnson *et al.*, (1968), *Anal. Biochem.*, 15, 273; Cook *et al.*, (1978), *Anal. Biochem.*, 91, 557-565; and Drake *et al.*, (1979), *Anal. Biochem.*, 94, 117-120).

10

It is preferred to use luciferase and luciferin in combination to quantify the release of pyrophosphate since the amount of light generated is substantially proportional to the amount of pyrophosphate released which, in turn, is directly proportional to the amount of base incorporated. The amount of light can readily be estimated by a suitable light sensitive device such as a luminometer, or a photomultiplying device in close proximity to the device of the present invention.

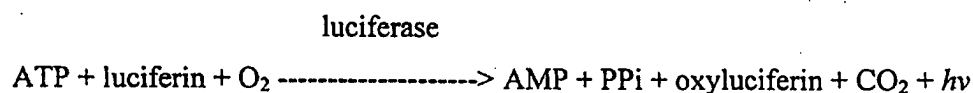
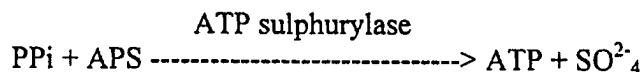
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Luciferin-luciferase reactions to detect the release of PPi are well known in the art. In particular, a method for continuous monitoring of PPi release based on the enzymes ATP sulphurylase and luciferase has been developed by Nyrén and Lundin (*Anal. Biochem.*, 151, 504-509, 1985) and termed ELIDA (enzymatic Luminometric Inorganic Pyrophosphate Detection Assay). The method may however be modified, for example by the use of a more thermostable luciferase (Kaliyama *et al.*, 1994, *Biosci. Biotech. Biochem.*, 58, 1170-1171) and/or ATP sulfurylase (Onda *et al.*, 1996, *Bioscience, Biotechnology and Biochemistry*, 60:10, 1740-42). This method is based on the following reactions:

20

25

30



(APS = adenosine 5'-phosphosulphate)

The preferred detection enzymes involved in the PPi detection reaction are thus ATP sulphurylase and luciferase.

5 The method of the invention may be performed in two steps, as described for example in WO 93/23564 and WO 89/09283, firstly a polymerase reaction step, i.e. a primer extension step, wherein the nucleotide(s) are incorporated, followed by a second detection step, wherein the release of PPi is monitored or detected, to detect whether or not a nucleotide incorporation has taken place. Thus, after the polymerase reaction has taken place, samples from the polymerase reaction mix  
10 may be removed and analysed by the ELIDA e.g. by adding an aliquot of the sample to a reaction mixture containing ELIDA enzymes and reactants.

15 However, as mentioned above, the method of the invention may readily be modified to enable the sequencing (i.e. base incorporation) reactions to be continuously monitored in real time. This may simply be achieved by performing the chain extension and detection, or signal-generation, reactions substantially simultaneously by including the "detection enzymes" in the chain extension reaction mixture.

20 The reaction mix for the polymerase reaction may thus include at least nucleotide (deoxy- or dideoxy), polymerase, luciferin, APS, ATP sulphurylase and luciferase together with an optional nucleotide-degrading enzyme e.g. apyrase. The polymerase reaction may be initiated by addition of the polymerase or, more  
25 preferably the nucleotide. Preferably the detection enzymes are already present at the time the reaction is initiated, or they may be added with the reagent that initiates the reaction.

30 With the use of a microfluidic system the volumes of reagents are in the range of nanolitres compared to microlitres in the 96 well format. This will reduce the consumption of reagents a thousand fold or more.

The present invention is illustrated by the following figures, which are by way of example only, wherein:

Figure 1: A schematic drawing of the fluidic channels in the spinning device.

Samples are loaded either by a mechanical device or a piezo dispenser. The reaction chamber and the detection chamber can be the same. The outlet from the chamber/s will have some barrier to stop the fluid to move during the spinning.

This barrier can be a hydrophobic surface.

Figure 2: Loading a CD from a liquid train. The train is loaded from the MTP (microtiter plate) and each sample (black in the diagram) is separated with air or an inert solution, a wash solution can also be included. When the whole plate is loaded in the capillary tube, a high pressure is applied in the same or opposite flow direction and samples will then be dispensed through the piezo dispenser on to application areas of the CD surface.

Figure 3: A schematic drawing of a mechanical device for loading a spinning device. The microtitre plate at the left, a wash station in the middle and the CD where samples, reagents and liquids should be applied to. 1) start position and transfer to the CD, 2) wash the applicator means, and 3) pick up new samples. The applicator means may be in the form of pens or syringes.

Figure 4a-d: show various parts and enlargements of the microchannel structures that have been used for proof of the principle utilised in the present invention.

Figure 4a: shows the peripheral part of a circular disc. The shown part have five microchannel structure extending radially outwards.

Figure 4b: shows an enlarged view of microchannel structure K9.

Figure 4c: shows an enlarged view of the sample volume definition unit in a microchannel structure.

Figure 4d: shows an enlarged view of the reaction chamber area plus chambers for disposal of waste liquids. In particular this figure indicates variations in depth (shadowed parts I, II, III and IV).

**EXPERIMENTAL****1) Materials/Investigated units**

5 Polymerase: Klenow Fragment (3' -5' exo-) New England Biolabs (storing buffer:  
10mM Tris (pH 7,4) 1mM EDTA, 1mM DTT, 50% glycerol) 5U/μl or 50U/μl:

Pyrosequencing AB

Luciferase: Promega (13,33mg/ml)

Sulphurylase: Sigma (50mU/μl)

10 PolyvinylpyrrolidonePVP: Sigma

MgAc<sub>2</sub>: Merck

D-Luciferin: BioThema

DTT: Sigma

Adenosines 5' phosphosulphate (APS): Sigma

15 dATPαS: Amersham Pharmacia Biotech

PPase pyrophosphatase : Sigma

dCTP, dTTP, dGTP: Amersham Pharmacia Biotech (PPi free)

Working solutions:

20 10 x stockA: PVP (4mg/ml); MgAc<sub>2</sub> (10.7mg/ml); D-luciferin (1.0μg/ml); DTT  
(1.0mM); Tris-Ac pH7.6(0.01M) APS (10mM)

*Nucleotides*: dATPαS(1.25mM), dCTP(0.5mM), dGTP(0.5mM), dTTP(1.25mM)

*Buffers*: Binding Washing Buffer (BW): 1M NaCl, 5mM Tris-HCl (pH 7.5),  
0.5mM EDTA

25 TE Buffer: 10mM Tris-HCl, 1mM EDTA (pH 7.6)

TAE Buffer: 0,04M Tris-Acetate (7.8), mM EDTA

*Particles*: Source beads to which streptavidin has been attached; 15μm (APB)

*Streptavidin (SA)*: 10mg/ml

30 Templates / Oligos

Template: a 50-mer oligonucleotide with known sequence tagged with biotin in  
the 3' end.

Primer: 24-mer oligonucleotide complementary to part of the template.

Microfluidic device material and treatment:

5 The microchannel structures (K7-K12) in figures 4a-d are arranged radially on a microfluidic disc. They start from a common annular inner application channel (1) and end in a common annular outer waste channel (2), coaxial with channel (1). Each inlet opening (3) of the microchannel structures may be used as an application area. Each microchannel structure is provided with a waste chamber (4) that opens into the outer waste channel (2). The flow direction is from the inlet openings (1) to the waste chamber (4). Flow is driven both by capillary action and centripetal force, i.e. by spinning the disc. Radial waste channels (5) directly connecting the annular inner channel (1) with the annular outer waste channel (2) are also shown.

15 Liquid passes from the inlet opening (3) via an entrance port (6) into a volume defining unit (7) and from there to a reaction chamber (10). The volume defining unit (7) has a passage into a waste channel (8) for removing excess liquid, e.g. to the annular outer waste channel (2), and a vent (9) which opens into open air. The reaction chamber (10) may become shallower (I,II,III,IV) (Fig 4d and Table) at the outlet end. A restricted channel (11) is provided between the reaction chamber (10) and the waste chamber (4). Due to the relatively large width of the waste chamber (4), there are preferably one or more supports (12) to ensure the rigidity of the chamber.

25 The volume defining unit (7) is U-shaped as shown in figure 4a-c with the entrance port (6) opening into the top of one of the legs of the U and the waste channel (8) starting from the other leg of the U, with a vent (9) placed at the top of this other leg. The bottom of the U-formed volume defining unit (7) is connected to the reaction chamber (10).

In addition to the application area at the inlet (3) of the structure, there may also be an additional application area (13) connected to the entrance port (6).

35 There is preferably also a vent (14) to open air in the reaction chamber (10). A

hydrophobic break is preferably provided at the connection (16) of the reaction chamber (10) to the volume defining unit (7).

The outer annular waste channel (2) may be sectioned so as to collect waste from a predetermined number of closely located microchannel structures.

Hydrophobic breaks were introduced by marking with an over-head pen (permanent ink) (Snowman pen, Japan): (a) between microchannel structure inlets (3) in the inner annular application channel (1), (b) each opening (15) into the outer annular waste channel (i.e. the openings of the waste chambers) and, (c) if present, also the radial waste channels (5) which connect the inner annular application channel (1) and the outer annular waste channel (2), and also the waste channel (8) which guides away excess liquid from the volume defining unit (7).

#### **EXAMPLE 1. BEADS AS SURFACE ENLARGEMENTS AND CARRIER FOR SINGLE STRANDED DNA HYBRIDISED TO A PRIMER**

**Synthesis of coating agent (PEG-PEI adduct):** 0.43 g of polyethylenimine (Polymin SN from BASF) was dissolved in 45 ml of 50 mM sodium borate buffer (pH 9.5) at 45°C. 5 g of glycidyl ether of monomethoxypolyethylene glycol (Mw 5 000) was added during stirring and the mixture was continuously stirred for 3 h at 45°C.

**Surface treatment:** A polycarbonate (polycarbonate of bisphenol A. Macrolon DP-1265, Bayer AG, Germany) disc as described above was placed in a plasma reactor (Plasma Science PS0500, BOC Coating Technology, USA) and treated with an oxygen plasma at 5 sccm gas flow and 500 W RF power for 10 min. After venting the reactor, the disc was immersed in a 0.1% solution of the PEG-PEI adduct in borate buffer pH 9.5 for 1 h. The disc was then rinsed with distilled water, blown dry with nitrogen and the water contact angle (sessile drop) was measured on a Ramé-Hart manual goniometer bench. The average of six equilibrium measurements (three droplets) was 24 degrees. An XPS spectrum of the treated surface gave the following molar elemental composition: 73.2%C, 3.7%N, 23.1%O, showing that the surface was essentially covered by the adsorbed

PEG-PEI adduct.

The microchannel structure was covered with a silicone rubber lid.

5       **Streptavidin-Source 15µm particles:** Source 15µm particles were oxidised with periodate, coupled with 6-aminohexanoic acid and further reacted with N-hydroxy-succinimid. Streptavidin (8mg/ml particles) was coupled to the NHS-activated particles at pH 8. Biotin capacity: 0.4 mmol/ml.

10       **Placing SA-beads in a microchannel structure:**

20 µl of a 10% Source-SA slurry were added to 0.5 µl tube and the beads washed with 1x BW. 20 µl BW buffer; 2.5 µl double stranded DNA (template hybridised to the primer, (5pmol/µl) and 7.5 µl TE and were added, mixed with the beads and incubated at 65°C for 10 min. The beads were then washed in TE once and TE  
15       added to a final volume of 20 µl. After each step the tube was centrifuged (30 sec.; 10.000 rpm) and the supernatant discarded.

The particles with immobilised DNA were applied as a 2% slurry to a column just before section I (about 8 nl) of the reaction chamber (10) of the microchannel  
20       structure described in figure 4.

Pyrosequencing reaction on the CD device

25       To minimise the risk for PPI contamination in the pyrosequencing mix, the test tubes used to prepare the mix were washed with 99% EtOH followed by milliQ, and dried upside down overnight.

The Pyrosequencing mix (50 µl) was prepared from the following:

30       33.5 µl 1xTAE  
5 µl Stock A  
1 µl 1xTE  
4 µl Luciferase (150 ng/µl)  
2.5 µl Sulphurylase (20 mU/µl)



**Stepwise primer extension and detection of nucleotide insertion:**

Pyrosequencing mixes with nucleotides ordered in accordance with the template sequence were distributed with intermediate TAE washing to the applicator area (3). Replacement of reagents was accomplished by spinning the disc. The pyrosequencing reaction in the CD device was measured in the detector Ppy1: 1. The reaction chamber functioned as the detection chamber.

Signals were obtained which corresponded to each addition of nucleotide which could be distinguished from the background noise.

**EXAMPLE 2. THE SURFACE OF THE REACTION CHAMBER AS CARRIER OF SINGLE STRANDED DNA HYBRISED TO A PRIMER**

**Surface treatment and immobilisation of DNA:** The surface of each reaction chamber (10) was masked with Owoco Rosa (Owoco AB, Stockholm – Trang sund, Sweden). The structures were then plasma treated as described in example 1 meaning that the unmasked areas were hydrophilized. After removal of Owoco Rose, hydrophobic breaks as indicated above were made by an over-head pen (permanent ink) (Snowman, Japan). The microchannel structures were then covered with a silicone rubber lid and the channels flushed with the PEI-PEG adduct described in example 1, which adhered to the plasma treated surfaces. Thereafter streptavidin was adsorbed (3x) to the surfaces of the reaction chambers followed by a wash with TE. The reaction chamber was then filled with a solution of double stranded DNA (primer DNA hybridised to template DNA, 5pmol/ $\mu$ l) and incubated for 20-30 minutes to immobilise the double-stranded DNA. The channels were then washed twice with TAE.

**Stepwise primer extension and detection of nucleotide insertion:** See example 1.

CLAIMS

1. A method of determining a nucleotide base in a nucleic acid sample comprising the steps of:

5

- (i) incubating the nucleic acid sample with a primer, DNA polymerase deoxynucleotide triphosphate, or the corresponding deoxynucleotide triphosphate analogue or dideoxynucleotide triphosphate (representing a single base?)
- (ii) measuring the pyrophosphate released in step (i)
- (iii) identifying the nature of the base added by measuring which nucleotide caused the release of PPi in step (ii)

10

characterised in that steps (i) to (iii) are performed in a microfluidic device.

15

2. A method for identifying the sequence of a portion of sample DNA, which method comprises:

20

- (i) forming immobilised double stranded DNA on one or more reaction areas in a microchannel structure of a microfluidic device;
- (ii) adding a known deoxynucleotide (or the corresponding deoxynucleotide analogue or dideoxynucleotide) and a DNA polymerase to each of said one or more reaction areas so that extension of primer only occurs if there is a complementarity of the added deoxynucleotide or dideoxynucleotide with the strand of sample DNA that is part of the immobilised double stranded DNA;
- (iii) detecting whether or not the deoxynucleotide or dideoxynucleotide added in step (ii) has been added to the primer DNA in said one or more reaction areas,
- (iv) repeating steps (ii) and (iii) as required with a different deoxynucleotide (or the corresponding deoxynucleotide analogue or dideoxynucleotide).

25

30

3. A method of determining a nucleotide base in a nucleic acid sample

according to claim 1 or 2 comprising the steps of:

- 5
- (i) attaching 0.1 – 200 pmol of a primer or single stranded DNA sample to each of between one and 100,000 pre-determined areas on the surface of a microfluidic device;
  - (ii) hybridising small amounts, e.g. 0.1 – 200 pmol, of single stranded sample DNA or primer respectively to each of the predetermined areas;
  - 10 (iii) adding a known deoxynucleotide, deoxynucleotide analogue or dideoxynucleotide and a DNA polymerase so that extension of the primer only occurs, with consequent release of pyrophosphate (PPi), if there is a complementarity with the sample DNA;
  - (iv) measuring the release of PPi and from which predetermined area on the device it is released;
  - 15 (v) repeating steps (iii) and (iv) as required to construct a DNA sequence for the elongated primers, and hence for portions of the sample DNA.

20 4. A method for identifying the sequence of a portion of sample DNA, which method comprises:

- 25
- (i) adding sample DNA to a predetermined area on a microfluidic device
  - (ii) moving the sample to a reaction chamber on the microfluidic device
  - (iii) attaching the sample DNA to a surface of the reaction chamber, alternatively hybridising the sample DNA in a single stranded form to a primer attached to the reaction chamber (then to (v))
  - 30 (iv) if the sample DNA has not been attached to a primer attached to the reaction chamber, hybridising a primer to the DNA in a single stranded form
  - (v) extending the primer in the presence of a DNA polymerase with a known deoxynucleotide (dNTP), deoxynucleotide analogue or dideoxynucleotide (ddNTP) such extension being indicated by

detection of pyrophosphate (PPi) released from the extension reaction

- (vi) repeating step (v) as required to establish the sequence of the extended primer.

5

5. A method according to any one of claims 1, 3 or 4 wherein the pyrophosphate release is detected by light emitted from a luciferin luciferase reaction.

10

6. A method according to claim 2 wherein the detection step involves labelled terminator

7. A method Claim 1-6 wherein the detection of the deoxynucleotide/dideoxynucleotide incorporation is performed in real time.

15

8. A method according to any one of claims 1-7 wherein microfluidic devices is a disc wherein the fluids maybe moved by centripetal force.

Fig.1.

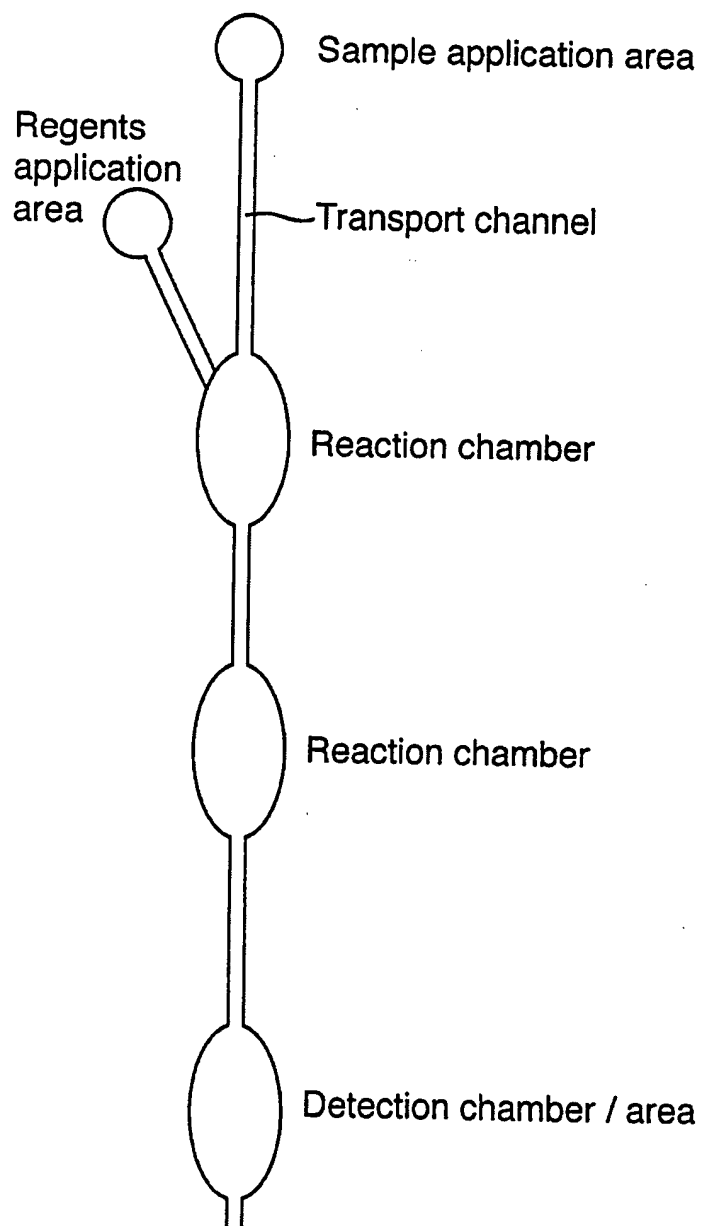


Fig.2.

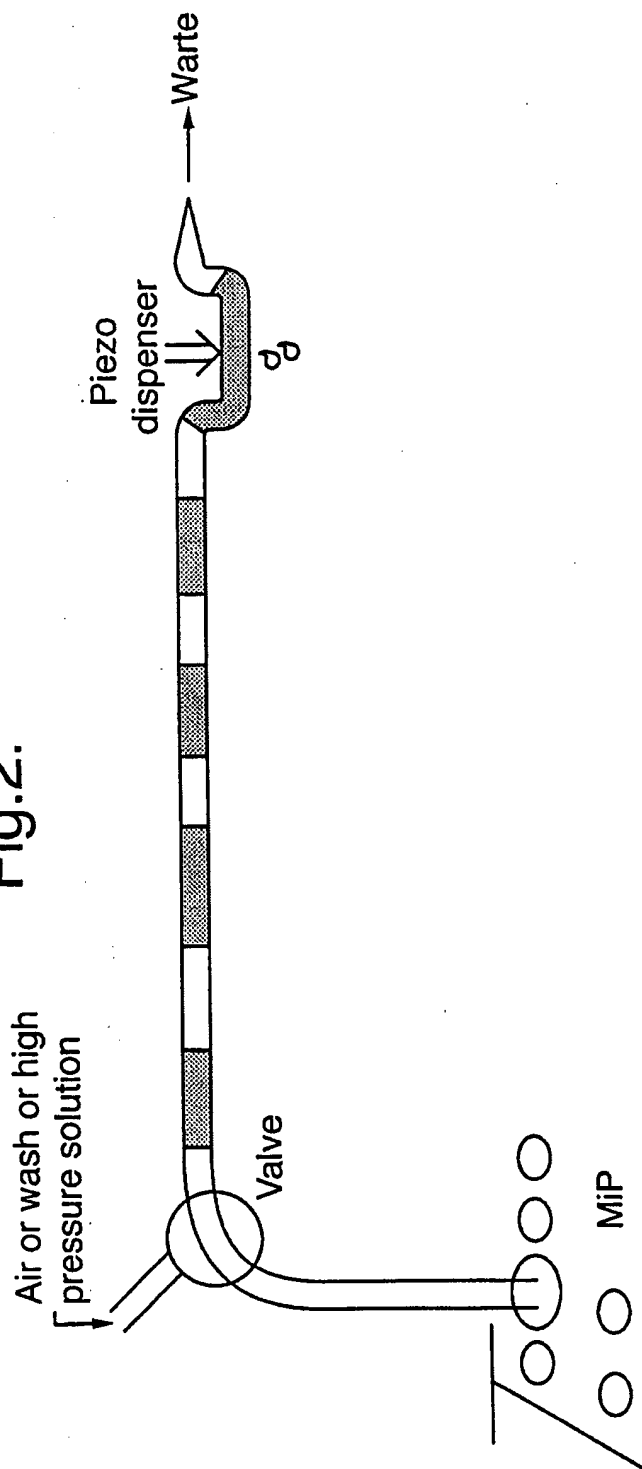


Fig.5.

Channel	L1(μm)	L2(μm)	L3(μm)	L4(μm)	A(μm)	B(μm)	C(μm)	D(μm)	E(μm)	I	II	III	IV
K7.K10	5500	3500	4500	3500	400	300	300	300	1800	-	X	-	-
K8.K11	5500	3000	4500	3500	400	300	300	150	1800	-	-	X	-
K9.K12	5500	3000	4500	3500	400	300	300	300	1800	-	X	X	X

Fig.3.

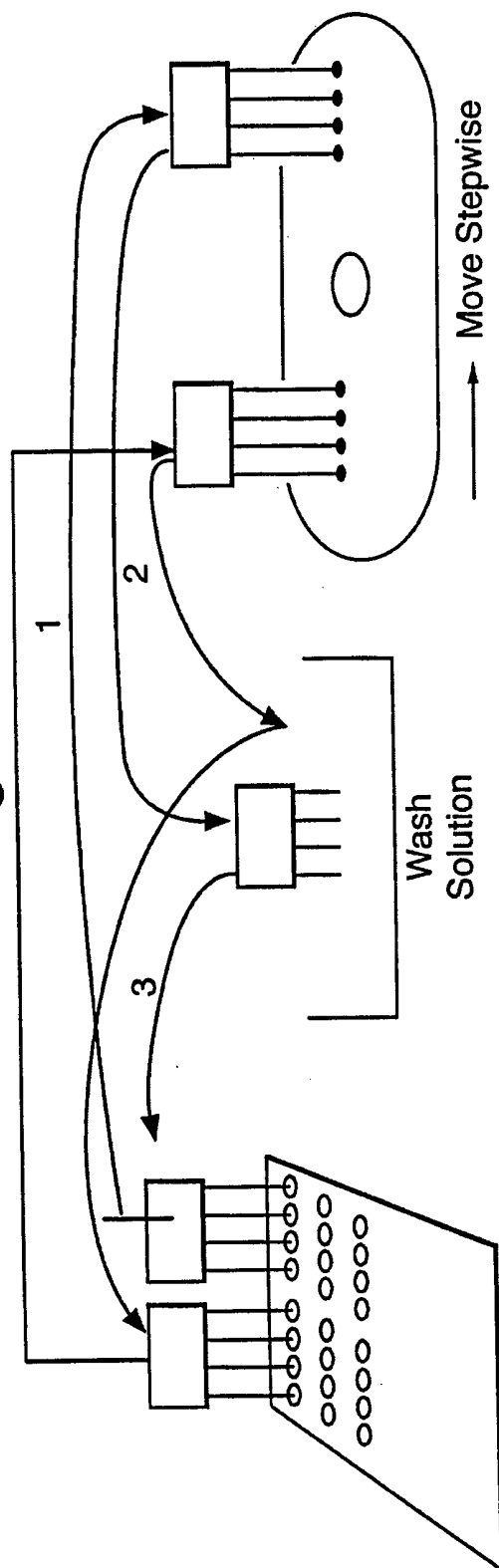


Fig.4a.

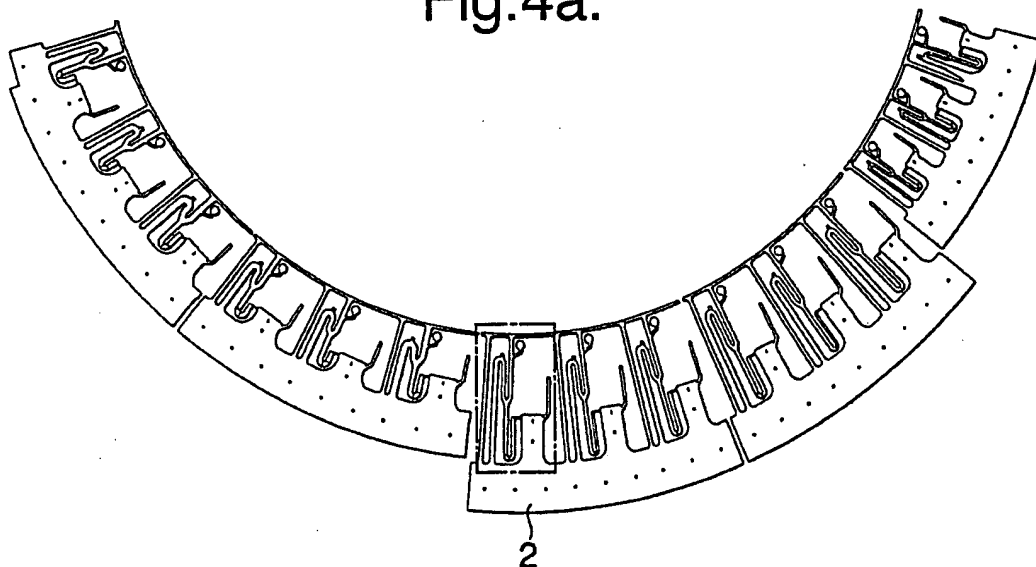


Fig.4c.

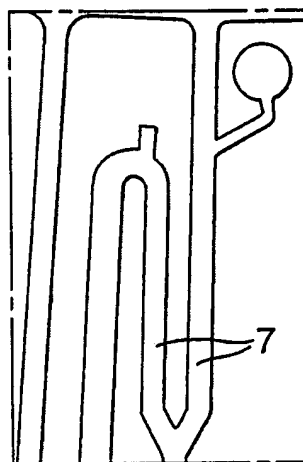


Fig.4b.

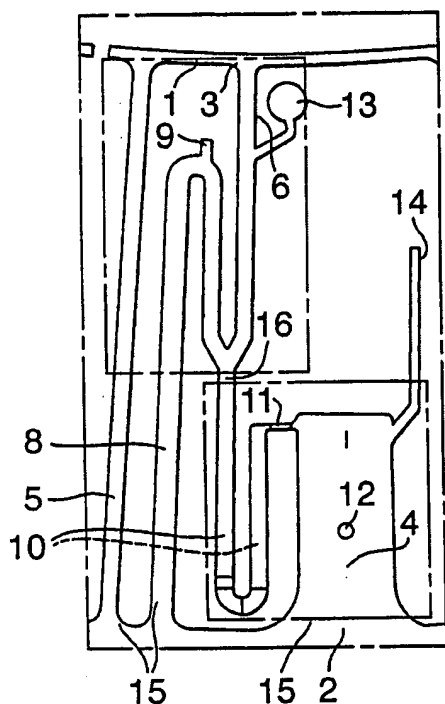


Fig.4d.

